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PATENT
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Robert A. Murgita
Serial No.: 08/377,316
Filed : January 24, 1995
Title : RECOMBINANT HUMAN ALPHA-FETOPROTEIN A CELL
PROLIFERATIVE AGENT

Art Unit:
Examiner: *Hucker* 18E
2-20
040

Commissioner of Patents and Trademarks
Washington, DC 20231


TRANSMITTAL OF DECLARATION OF SMALL ENTITY STATUS

Enclosed is a Declaration of Small Entity Status which shows that Applicant is small business concern.

Please charge any required fee, or make any credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date: July 18, 1995

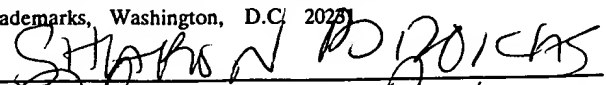
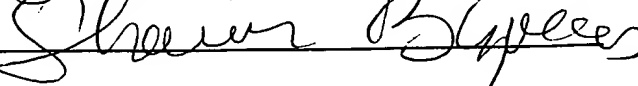

Paul T. Clark
Reg. No. 30,162

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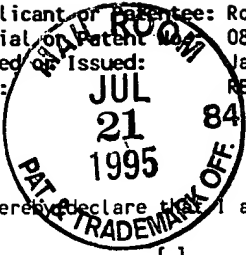
Fish & Richardson P.C.
225 Franklin Street
Boston, MA 02110-2804

Telephone: 617/542-5070
Facsimile: 617/542-8906
135573.B11

Date of Deposit 7/19/95
I hereby certify under 37 CFR 1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231

Applicant or Patentee: Robert A. Murgita
 Serial of Patent: 08/377,316
 Filed or Issued: January 24, 1995
 For: RECOMBINANT HUMAN ALPHA-FETOPROTEIN A CELL PROLIFERATIVE AGENT



**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
 (37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Small Business Concern: Martinox R&D Inc.

Address of Small Business Concern: 550 Sherbrooke Street West, Suite 370, West Tower, Montreal, Quebec H3A 1B9

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled RECOMBINANT HUMAN ALPHA-FETOPROTEIN A CELL PROLIFERATIVE AGENT by inventor(s) Robert A. Murgita described in

- ☐ the specification filed herewith.
☒ application serial no. 08/377,316, filed January 24, 1995.
☐ patent no. , issued .

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e). NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Full Name: McGill University

Address: Montreal, Quebec, Canada

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

Full Name: Atlantic Biopharmaceuticals, Inc.

Address: 126 Mt. Auburn Street, Suite 200 North, Cambridge, MA 02138

☐ INDIVIDUAL ☒ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent on which this verified statement is directed.

Name: R. Timothé Huot

Title: President

Address: 550 Sherbrooke Street West, Suite 370, West Tower, Montreal, Quebec H3A 1B9

Signature: *[Handwritten Signature]*

Date: 59/06/95

CORDINATION FORM COVER SHEET
PATENTS ONLY

Commissioner of Patents and Trademarks: Please record the attached original document.

1. Name of conveying party(ies):
McGill UniversityAdditional name(s) attached? ☐ Yes ☒ No2. Name and address of receiving party(ies):
Martnex R&D Inc.
550 Sherbrooke Street West
Montreal, Quebec, Canada H3A 1B9Additional names/addresses attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment
☐ Merger
☐ Security Agreement
☐ Change of Name
☐ Other:

Execution Date: July 13, 1995 and June 29, 1995

4. Application number(s) or patent number(s):

If this document is being filed with a new application, the execution date of the application is:

A. Patent Application No.(s):
08/377,316
January 24, 1995

B. Patent No.(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name/address of party to whom correspondence concerning document should be mailed:

Paul T. Clark
Fish & Richardson P.C.
225 Franklin Street
Boston, MA 02110-2804

6. Total number of applications/patents involved: 1

7. Total fee (37 CFR 3.41): \$40

- ☒ Enclosed
☐ Authorized to charge deposit account

8. Deposit account number: 06-1050

If the fee above is being charged to deposit account, a duplicate copy of this cover sheet is attached. Please apply any additional charges, or any credits, to our Deposit Account No. 06-1050.

DO NOT USE THIS SPACE

9. Statement and signature: To the best of my knowledge and belief, the foregoing information is true and correct and the attached is the original document.

Paul T. Clark

Name of Person Signing

Signature

Date

Total number of pages including cover sheet, attachments, and document: 3

Date of Deposit

I hereby certify under 37 CFR 1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

Sharon Byrnes
Sharon Byrnes

THIS MEMORANDUM OF ASSIGNMENT EXECUTED IN THE
CITY AND DISTRICT OF MONTREAL, PROVINCE OF QUEBEC

BY AND BETWEEN: MCGILL UNIVERSITY, a royal charter corporation, operating a university institution, and having its principal office at 845 Sherbrooke Street West, in the City and District of Montreal, Province of Quebec,

Hereinafter referred to as "McGill".

AND: MARTINEX R&D INC., a company established under the laws of Quebec, having its office at 550 Sherbrooke Street West, in the City and District of Montreal, Province of Quebec,

Hereinafter referred to as "Martinex".

WHEREAS, McGill University is the employer of the creators of the property hereinbelow assigned ("Property");

WHEREAS, McGill University is the exclusive owner of the Property;

WHEREAS, the Office of Technology Transfer (OTT) of McGill University has been instrumental in applying the standard option, protecting the intellectual property in the Property and preparing it for commercialization;

NOW, THEREFORE, THE PARTIES AGREE AS FOLLOWS:

1. For valuable consideration, McGill University and its successors and assigns ("Assignor") hereby assigns to Martinex or its nominee ("Assignee") the entire right, title and interest in the Property, which includes without restriction the real, personal and intellectual property therein throughout the world and which is the subject of an application for United States Patent Ser. No. 08/377,316, filed January 24, 1995, entitled RECOMBINANT HUMAN ALPHA-FETOPROTEIN AS A CELL PROLIFERATIVE AGENT, this assignment including said application, any and all copyrights, trademarks and foreign patents utility models, and design registrations granted for any of said inventions or improvements, and the right to claim priority based on the filing date of said application under the International Convention for the Protection of Industrial Property, the Patent Cooperation Treaty, the European Patent Convention, and all other treaties of like purposes;

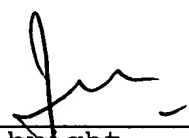
2. McGill University authorizes the Assignee to apply in all countries in its name or in its own name for copyrights, trademarks, patents, utility models, design registrations and like rights of exclusion and for inventors certificates for said

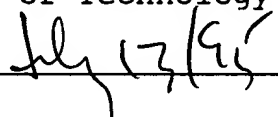
inventions and improvements; and without further compensation to perform such lawful acts and to sign such further applications, assignments, Preliminary Statements and other lawful documents as the Assignee may reasonably request to give full effect to this assignment;

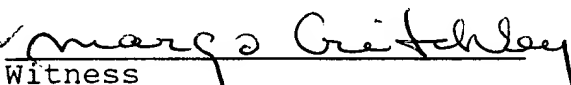
3. The parties expressly desire that the present agreement and all accessory documents be drafted in English language only. Les parties aux présentes ont expressément demandé que la présente entente et les documents accessoires soient rédigés en langue anglaise.

IN WITNESS WHEREFORE THE PRESENT PARTIES HAVE EXECUTED THE PRESENT AGREEMENT.

MCGILL UNIVERSITY

Per: 
James Albright
Director
Office of Technology Transfer

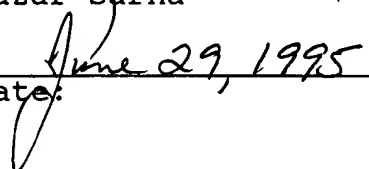
Date:  July 13/95

Witness 
Margo Critchley

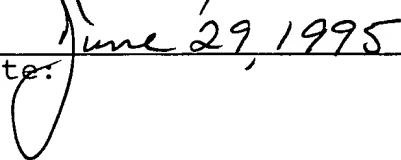
Date:  July 13, 1995

MARTINEX R&D INC.

Per: 
Lazar Sarna

Date:  June 29, 1995

Witness 
Comfort

Date:  June 29, 1995